

.

---

**From:** Baseel, Nicholas <nicholas.baseel@gwrs.com>  
**Sent:** Friday, June 06, 2008 12:00 PM  
**To:** Corbett, Kate (DPH)  
**Subject:** RE: Rollover/Transfer Question

Kate,

What will need to be done is you fill out that paperwork and submit it. Great West will then confirm that the money is transferable and you will receive further instructions. During that time you can request distribution paper work from your other provider because that will be needed. It would be most beneficial for you to do a direct roll over and once the monies are approved they will be directly wired to Great West. If you took a distribution from your 401k and cashed that check as supposed to rolling it over you would incur a 10% penalty. I would suggest that you attach a copy of the marriage license to the form when you fax over the rollover form to just help the process. The IRC code is a 457b plan. The plan number is 98966-01. If you have more questions about the process please let me know.

Sincerely,

Nick Baseel  
Account Executive  
Great West Retirement Services  
1-877-457-1900 ext 20076  
[Nicholas.Baseel@gwrs.com](mailto:Nicholas.Baseel@gwrs.com)

*Securities, when offered, are offered through GWFS Equities, Inc., a Great-West Company and affiliate of FASCore, LLC and First Great-West Life & Annuity Insurance Company, White Plains, New York.*

*Representatives of GWFS Equities, Inc. are not registered investment advisers and cannot offer financial, legal or tax advice. Please consult with your financial planner, attorney and/or tax adviser as needed.*

*Great-West Retirement Services refers to products and services provided by Great-West Life & Annuity Insurance Company, First Great-West Life & Annuity Insurance Company, its subsidiaries and affiliates.*

---

**From:** Corbett, Kate (DPH) [<mailto:Kate.Corbett@state.ma.us>]  
**Sent:** Friday, June 06, 2008 7:43 AM  
**To:** Baseel, Nicholas  
**Subject:** Rollover/Transfer Question

Hi Nick,

I would like to rollover my 401k from a previous employer to my SmartPlan account. I was hoping you would be able to answer some questions I have about it. I was looking on the website and have printed out the Transfer/Rollover form. Do I fill out that form and submit it before I request a distribution from my old plan? Or if I was to do the regular 60-day rollover can I request the distribution now while I wait for the rollover to be approved by you guys? How long does the approval process usually take? Should I have the distribution check made out to me or to Great West? And if it is made out to me and I sign it over to Great West will I get any penalties or would I only incur penalties if I was to cash the

check? My prior plan is under my maiden name so I am assuming I would need to provide a copy of my marriage license...would I include that with the Rollover form or when the distribution check is actually submitted? Finally, would you happen to know where the Internal Revenue Code would be located on my account statement from my previous plan or what one normally looks like because I don't know where to find it on the statement. Sorry I have so many questions. Hopefully you will be able to help me with this. If you need to call me, my phone # at the Lab is 617-983-6632.

Thank you so much,  
Kate Corbett

---

The information contained in this message and any accompanying attachments may contain privileged, private and/or confidential information protected by state and federal law. Penalties may be assessed for unauthorized use and/or disclosure. This message and any attachments are intended for the designated recipient only. If you have received this information in error, please notify the sender immediately and return or destroy the information.

This e-mail transmission and any attachments are believed to have been sent free of any virus or other defect that might affect any computer system into which it is received and opened. It is, however, the recipient's responsibility to ensure that the e-mail transmission and any attachments are virus free, and the sender accepts no responsibility for any damage that may in any way arise from their use.